

566.39787X00



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TC 1700

Applicants: T. UCHIDA, et al.

Application No.: 09/763,891

Filed: June 11, 2001

For: POLISHING SOLUTION FOR METAL AND POLISHING METHOD

Art Group: 1765

Examiner: L. Umez Eronini

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97 & §1.98**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

September 4, 2003

Sir:

Pursuant to Applicants' duty of disclosure, enclosed please find copies of documents cited in connection with foreign patents/applications corresponding to the above-identified application; that is, cited in an Opposition in connection with the corresponding Japanese Patent No. 3,337,464, and cited in connection with a corresponding Chinese patent application. Also enclosed is a copy of the Office Action, issued June 6, 2003 in the corresponding Chinese patent application; and of the Opposition in connection with the corresponding Japanese patent, dated April 21, 2003, with Japanese counsel for Applicants being notified of the Opposition on June 27, 2003. Further enclosed is a Form, substantially equivalent to Form PTO-1449, listing the enclosed documents, with the exception of the enclosed Office Action from the Chinese Patent Office and of the Opposition.

This Information Disclosure Statement is being submitted subsequent to a first Office Action on the merits in the above-identified application, but prior to a Final rejection or issuance of a Notice of Allowance, or issuance of any other action closing prosecution on the merits in the present application. For satisfying requirements of 37 CFR § 1.97(c), the following Statement is made under 37 CFR § 1.97(e)(1), noting that various of the enclosed references were cited in an Opposition in connection with the corresponding Japanese patent, which qualifies as being cited in a communication from a foreign patent office:

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

In any event, even if the documents cited in the Opposition for the corresponding Japanese patent do not qualify as being cited in a communication from a foreign patent office, the following additional Statement is made under 37 CFR § 1.97(e)(2):

No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 CFR § 1.56(c), more than three months prior to the filing of this Information Disclosure Statement.

To the extent that the enclosed documents are not in English, please note the following:

(1) the enclosed U.S. Patent No. 6,117,783 and No. 6,313,039 correspond to the enclosed JP No. 2000-501771;

(2) the enclosed U.S. Patent No. 5,575,885 corresponds to the enclosed JP No. 07/233485;

(3) the enclosed U.S. Patent No. 4,954,142 and No. 5,084,071 correspond to the enclosed JP No. 2-278822; and

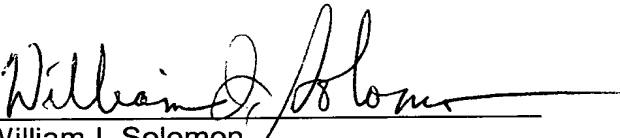
(4) the enclosed European Patent Application No. 845,512 corresponds to the enclosed JP No. 10-163141.

In view of the foregoing, it is respectfully submitted that all applicable requirements of 37 CFR §1.97 and §1.98 have been satisfied, in connection with each of the documents listed in the enclosed Form. Accordingly, consideration of the listed documents, upon further examination of the above-identified application, is respectfully requested.

Please charge any shortage in fees due in connection with the filing of this paper to the Deposit Account No. 01-2135 (Case No. 566.39787X00) and please credit any excess fees to such Deposit Account.

Respectfully submitted,

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Form PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DKT. NO. 566.39787X00	SERIAL NO. 09/763,891
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)		<b>APPLICANT</b> T. Uchida, et al.	
		<b>FILING DATE</b> June 11, 2001	<b>GROUP</b> 1765

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date
AA	6,117,783	9/12/2000	Small, et al.			
AB	6,313,039	11/6/2001	Small, et al.			
AC	5,575,885	11/19/1996	Hirabayashi, et al.			
AD	4,954,142	9/4/1990	Carr, et al.			
AE	5,084,071	1/28/1992	Nenadic, et al.			

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**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation/ Abstracts	
						Yes	No
AF	0 846 742	6/10/1998	EP				
AG	2000-501771	2/15/2000	Japan			X	
AH	7-233485	9/5/1995	Japan			X	
AI	2-278822	11/15/1990	Japan			X	
AJ	10-163141	6/19/1998	Japan			X	
AK	0 845 512	6/3/1998	EP				
AL	6-88258	3/29/1994	Japan			X	

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

AM	
Examiner	Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
 \*Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at: www.uspto.gov or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard 51.3). \*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST, 10 if possible. \*Applicant is to place a check mark here if English language Translation is attached.  
 Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC.